

Firm Brochure
(Part 2A of Form ADV)

Baring Financial LLC
CRD Number: 173761
306 N. Commercial St.
Bellingham, WA 98225
(360) 671-7257
info@baringfinancial.com

This brochure provides information about the qualifications and business practices of Baring Financial, LLC. If you have any questions about the contents of this brochure, please contact us at: (360) 671-7257, or by email at: info@baringfinancial.com. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission, or by any state securities authority. Registration does not imply a certain level of skill or training.

Additional information about Baring Financial, LLC is available on the SEC's website at www.adviserinfo.sec.gov

03/16/2016

Material Changes

Annual Update

The Material Changes section of this brochure will be updated annually when material changes occur since the previous release of the Firm Brochure.

Material Changes since the Last Update

The U.S. Securities and Exchange Commission issued a final rule in July 2010 requiring advisers to provide a Firm Brochure in narrative “plain English” format. The new final rule specifies mandatory sections and organization.

Full Brochure Available

Whenever you would like to receive a complete copy of our Firm Brochure, please contact us by telephone at: (360) 671-7257 or by email at: info@baringfinancial.com

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Advisory Business

Firm Description

Baring Financial, LLC was founded in 2014.

Baring Financial, LLC became a Registered Investment Advisor on February 6th, 2015.

Baring Financial, LLC provides personalized confidential investment management to individuals, pension and profit sharing plans, trusts, estates, charitable organizations and small businesses. Advice is provided through consultation with the client and may include: determination of financial objectives, identification of financial problems, investment management, and education funding, retirement planning.

Baring Financial, LLC is in the business of managing money for a set fee and does not sell any commissioned products.

Investment advice is provided, with the client making the final decision on investment selection. Baring Financial, LLC does not act as a custodian of client assets. The client always maintains asset control. Baring Financial, LLC places trades for clients under a limited power of attorney.

Periodic reviews are communicated to provide reminders of the specific courses of action that need to be taken. More frequent reviews occur but are not necessarily communicated to the client unless immediate changes are recommended.

Other professionals (e.g., lawyers, accountants, insurance agents, etc.) are engaged directly by the client on an as-needed basis. Conflicts of interest will be disclosed to the client in the unlikely event they should occur.

The initial meeting, which may be by telephone, is free of charge and is considered an exploratory interview to determine the extent to which investment management may be beneficial to the client.

Principal Owners

Melvin Danson is a 100% stockholder.

Types of Advisory Services

Baring Financial, LLC provides investment supervisory services, also known as asset management services; manages investment advisory accounts not involving investment supervisory services; and furnishes investment advice through consultations.

As of March 16th, 2016, Baring Financial LLC manages approximately \$26m in assets for 245 clients. \$19.6m is managed on a discretionary basis, and \$6.4m is managed on a non-discretionary basis.

Tailored Relationships

The goals and objectives for each client are documented in our client relationship management system. Investment policy statements are created that reflect the stated goals and objective. Clients may impose restrictions on investing in certain securities or types of securities.

Agreements may not be assigned without client consent.

Types of Agreements

The following agreements define the typical client relationships.

Investment Advisory Agreement

Most clients choose to have Baring Financial, LLC manage their assets in order to obtain professional asset management. Effective and appropriate asset management requires examination of each client's personal financial affairs. Realistic and measurable goals are set and objectives to reach those goals are defined. As goals and objectives change over time, it may be appropriate to change a client's investment objective.

The scope of work and fee for an Investment Advisory Agreement is provided to the client in writing prior to the start of the relationship. An Investment Advisory Agreement includes investment management (including performance reporting), statements showing asset allocation and account activity, and trade confirmations.

The annual Investment Advisory Agreement fee is based on a percentage of the investable assets according to the following schedule:

1.3% of all Assets Under Management

The minimum annual fee is \$10 and is negotiable. Current client relationships may exist where the fees are lower than the fee schedule above. Fees are billed quarterly, in advance, meaning that we send an itemized invoice to you before the three-month billing period has begun, and are based on the total amount of assets under management.

Although the Investment Advisory Agreement is an ongoing agreement the length of service to the client is at the client's discretion. The client or the investment manager may terminate an Agreement by written notice to the other party. At termination, fees will be billed on a pro rata basis for the portion of the quarter completed. The portfolio value at the completion of the prior full billing quarter is used as the basis for the fee computation, adjusted for the number of days during the billing quarter prior to termination.

Investment Management Agreement

An Investment Management Agreement may be executed when financial planning is not provided as part of the relationship. The annual fee for an

Investment Management Agreement is 1.3% of investable assets under management and is negotiable.

Tax Preparation Agreement

Tax preparation work is not included in the Investment Advisory Agreement.

Asset Management

Assets are invested primarily in no-load or low-load mutual funds and exchange-traded funds, usually through discount brokers or fund companies. Fund companies charge each fund shareholder an investment management fee that is disclosed in the fund prospectus. Discount brokerages may charge a transaction fee for the purchase of some funds.

Stocks and bonds may be purchased or sold through a brokerage account when appropriate. The brokerage firm charges a fee for stock and bond trades. Baring Financial, LLC does not receive any compensation, in any form, from fund companies.

Investments may also include: equities (stocks), warrants, corporate debt securities, commercial paper, certificates of deposit, municipal securities, investment company securities (variable life insurance, variable annuities, and mutual funds shares), U. S. government securities, options contracts, futures contracts, and interests in partnerships.

Initial public offerings (IPOs) are not available through Baring Financial, LLC.

Termination of Agreement

A Client may terminate any of the aforementioned agreements at any time by notifying Baring Financial, LLC in writing and paying the rate for the time spent on the investment advisory engagement prior to notification of termination. If the client made an advance payment, Baring Financial, LLC will refund any unearned portion of the advance payment.

Baring Financial, LLC may terminate any of the aforementioned agreements at any time by notifying the client in writing. If the client made an advance payment, Baring Financial, LLC will refund any unearned portion of the advance payment.

Fees and Compensation

Description

Baring Financial, LLC bases its fees on a percentage of assets under management.

Fees are negotiable.

Fee Billing

Investment management fees are billed quarterly, in advance, meaning that we send an itemized invoice to you before the three-month billing period has begun. Payment in full is expected upon invoice presentation. Fees are usually deducted from a designated client account to facilitate billing. The client must consent in advance to direct debiting of their investment account.

Other Fees

Custodians may charge transaction fees on purchases or sales of certain mutual funds and exchange-traded funds. These transaction charges are usually small and incidental to the purchase or sale of a security. The selection of the security is more important than the nominal fee that the custodian charges to buy or sell the security.

Baring Financial, LLC, in its sole discretion, may waive its minimum fee and/or charge a lesser investment advisory fee based upon certain criteria (e.g., historical relationship, type of assets, anticipated future earning capacity, anticipated future additional assets, dollar amounts of assets to be managed, related accounts, account composition, negotiations with clients, etc.).

New Investment Advisory Agreement fees are calculated on the following schedule:

1.3% of all Assets Under Management

Expense Ratios

Mutual funds generally charge a management fee for their services as investment managers. The management fee is called an expense ratio. For example, an expense ratio of 0.50 means that the mutual fund company charges 0.5% for their services. These fees are in addition to the fees paid by you to Baring Financial, LLC.

Performance figures quoted by mutual fund companies in various publications are after their fees have been deducted.

Past Due Accounts and Termination of Agreement

Baring Financial, LLC reserves the right to stop work on any account that is more than 90 days overdue. In addition, Baring Financial, LLC reserves the right to terminate any investment management engagement where a client has willfully concealed or has refused to provide pertinent information about financial situations when necessary and appropriate, in Baring Financial, LLC's judgment, to providing proper financial advice. Any unused portion of fees collected in advance will be refunded within 30 days.

Performance-Based Fees and Side-by-Side Management

Sharing of Capital Gains

Fees are not based on a share of the capital gains or capital appreciation of managed securities.

Baring Financial, LLC does not use a performance-based fee structure because of the potential conflict of interest. Performance-based compensation may create an incentive for the adviser to recommend an investment that may carry a higher degree of risk to the client.

Types of Clients

Description

Baring Financial, LLC generally provides investment advice to individuals, banks or thrift institutions, investment companies, pension and profit sharing plans, trusts, estates, or charitable organizations, corporations or business entities.

Client relationships vary in scope and length of service.

Account Minimums

The minimum account size is \$1,000 of assets under management, which equates to an annual fee of \$10.

When an account falls below \$1,000 in value, the minimum annual fee of \$10 is charged.

Baring Financial, LLC has the discretion to waive the account minimum. Accounts of less than \$1000 may be set up when the client and the advisor anticipate the client will add additional funds to the accounts bringing the total to \$1,000 within a reasonable time. Other exceptions will apply to employees of Baring Financial, LLC and their relatives, or relatives of existing clients.

Clients receiving ongoing asset management services will be assessed a \$10 minimum annual fee. Clients with assets below the minimum account size may pay a higher percentage rate on their annual fees than the fees paid by clients with greater assets under management.

Methods of Analysis, Investment Strategies and Risk of Loss

Methods of Analysis

Security analysis methods may include charting, fundamental analysis, technical analysis, and cyclical analysis.

The main sources of information include financial newspapers and magazines, inspections of corporate activities, research materials prepared by others, corporate rating services, timing services, annual reports,

prospectuses, filings with the Securities and Exchange Commission, and company press releases.

Other sources of information that Baring Financial, LLC may use include Morningstar Principia mutual fund information, Morningstar Principia stock information, and the World Wide Web.

Investment Strategies

The primary investment strategy used on client accounts is strategic asset allocation utilizing a core and satellite approach. This means that we use passively-managed index and exchange-traded funds as the core investments, and then add actively-managed funds where there are greater opportunities to make a difference. Portfolios are globally diversified to control the risk associated with traditional markets.

The investment strategy for a specific client is based upon the objectives stated by the client during consultations. The client may change these objectives at any time. Each client executes an Investment Policy Statement that documents their objectives and their desired investment strategy.

Other strategies may include long-term purchases, short-term purchases, trading, short sales, margin transactions, and option writing (including covered options, uncovered options or spreading strategies).

Risk of Loss

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps the risk of loss in mind. Investors face the following investment risks:

- **Interest-rate Risk:** Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.
- **Market Risk:** The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic and social conditions may trigger market events.
- **Inflation Risk:** When any type of inflation is present, a dollar today will not buy as much as a dollar next year, because purchasing power is eroding at the rate of inflation.
- **Currency Risk:** Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.
- **Reinvestment Risk:** This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of

return (i.e. interest rate). This primarily relates to fixed income securities.

- **Business Risk:** These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company, which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.
- **Liquidity Risk:** Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not.
- **Financial Risk:** Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.

Disciplinary Information

Legal and Disciplinary

The firm and its employees have not been involved in legal or disciplinary events related to past or present investment clients.

Other Financial Industry Activities and Affiliations

Financial Industry Activities

Baring Financial, LLC is a registered investment advisor.

Affiliations

Melvin Danson is a licensed insurance agent selling life, disability and long-term care. He is the owner of Logan Danson, LLC Clients that ask for insurance and tax preparation or consulting work are told that there may be a conflict of interest in providing these services. The conflict of interest arises in the potential use of funds from a Baring Financial, LLC account to pay for their taxes or the purchase of insurance. This is disclosed to the client when the client first asks to have Baring Financial, LLC perform the services mention above.

Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Code of Ethics

The employees of Baring Financial, LLC have committed to the AICPA Code of Ethics that is available for review by clients and prospective clients upon request. The firm will provide a copy of the Code of Ethics to any client or prospective client upon request.

Participation or Interest in Client Transactions

Baring Financial, LLC and its employees may buy or sell securities that are also held by clients. Employees may not trade their own securities ahead of client trades. Employees comply with the provisions of the Baring Financial, LLC Compliance Manual.

Personal Trading

The Chief Compliance Officer of Baring Financial, LLC is Melvin Danson. He reviews all employee trades each quarter. His trades are reviewed by himself. The personal trading reviews ensure that the personal trading of employees does not affect the markets, and that clients of the firm receive preferential treatment. Since most employee trades are small mutual fund trades or exchange-traded fund trades, the trades do not affect the securities markets.

Brokerage Practices

Selecting Brokerage Firms

Baring Financial, LLC does not have any affiliation with product sales firms. Specific custodian recommendations are made to Clients based on their need for such services. Baring Financial, LLC recommends custodians based on the proven integrity and financial responsibility of the firm and the best execution of orders at reasonable commission rates.

Baring Financial, LLC recommends discount brokerage firms and trust companies (qualified custodians), such as Interactive Brokers, SEI, and Pershing LLC. Baring Financial, LLC is an advisor with Interactive Brokers, SEI, and SSG.

Baring Financial, LLC does not receive fees or commissions from any of these arrangements.

Not all advisors require their clients to direct brokerage. By directing brokerage Baring Financial, LLC may not be able achieve the most favorable execution of Client transactions. This practice may cost Client more money.

Best Execution

Baring Financial, LLC reviews the execution of trades at each custodian each quarter. The review is documented in the Baring Financial, LLC Compliance Manual. Trading fees charged by the custodians are also reviewed on a quarterly basis. Baring Financial, LLC does not receive any portion of the trading fees.

Soft Dollars

Baring Financial, LLC receives a software maintenance credit of \$0 per year from Interactive Brokers, SEI, and SSG because some client assets are custodied at Interactive Brokers, SEI, or SSG. This credit offsets annual maintenance fees for our portfolio management software. All clients benefit from this credit as it reduces the firm's overall expenses.

The selection of Interactive Brokers, SEI, and SSG as a custodian for clients is not affected by this nominal credit.

Order Aggregation

Most trades are mutual funds or exchange-traded funds where trade aggregation does not garner any client benefit.

Review of Accounts

Periodic Reviews

Account reviews are performed annually by advisor Melvin Danson, EA. Account reviews are performed more frequently when market conditions dictate.

Review Triggers

Other conditions that may trigger a review are changes in the tax laws, new investment information, and changes in a client's own situation.

Regular Reports

The account reviewer is instructed to consider the client's current security positions and the likelihood that the performance of each security will contribute to the investment objectives of the client.

Clients receive periodic communications on at least an annual basis. Investment Advisory Agreement clients and Investment Management clients receive written quarterly updates. Custodians will provide monthly statements that may include a net worth statement, portfolio statement, and a summary of objectives.

Client Referrals and Other Compensation

Referrals Out

Baring Financial, LLC does not accept referral fees or any form of remuneration from other professionals when a prospect or client is referred to them.

Custody

SEC "Custody"

From time to time, Baring Financial, LLC may be considered to have custody of certain types of accounts, such as when an employee acts as a trustee of an unrelated trust and the firm acts as the investment adviser to that trust. When the firm has such custody, an annual surprise audit of those custodied accounts is performed by an independent CPA firm in compliance with SEC requirements.

Account Statements

All assets are held at qualified custodians, which means the custodians provide account statements directly to clients at their address of record at least quarterly.

Investment Discretion

Discretionary Authority for Trading

Baring Financial, LLC will have discretionary authority to manage securities accounts on behalf of clients if they wish. Baring Financial, LLC has the authority to determine the securities to be bought or sold and the amount of the securities to be bought or sold. However, Baring Financial, LLC consults with the client prior to each trade to obtain concurrence.

The client approves the custodian to be used and the commission rates paid to the custodian. Baring Financial, LLC does not receive any portion of the transaction fees or commissions paid by the client to the custodian on certain trades.

Non-discretionary trading authority facilitates placing trades in your accounts on your behalf so that we may promptly implement the investment policy that you have approved in writing.

Limited Power of Attorney

A limited power of attorney is a trading authorization for this purpose. You sign a limited power of attorney so that we may execute the trades that you have approved.

Voting Client Securities

Proxy Votes

Baring Financial, LLC does not vote proxies on securities. Clients are expected to vote their own proxies. Client will receive voting proxies directly from Custodian.

When assistance on voting proxies is requested, Baring Financial, LLC will provide recommendations to the Client. If a conflict of interest exists, it will be disclosed to the Client.

Financial Information

Financial Condition

Baring Financial, LLC does not have any financial impairment that will preclude the firm from meeting contractual commitments to clients.

A balance sheet is not required to be provided because Baring Financial, LLC does not serve as a custodian for client funds or securities, and does not require prepayment of fees of more than \$600 per client, six months or more in advance.

Business Continuity Plan

General

Baring Financial, LLC has a Business Continuity Plan in place that provides detailed steps to mitigate and recover from the loss of office space, communications, services or key people.

Disasters

The Business Continuity Plan covers natural disasters such as snow storms, hurricanes, tornados, and flooding. The Plan covers man-made disasters such as loss of electrical power, loss of water pressure, fire, bomb threat, nuclear emergency, chemical event, biological event, T-1 communications line outage, Internet outage, railway accident and aircraft accident. Electronic files are backed up daily and archived offsite.

Alternate Offices

Alternate offices are identified to support ongoing operations in the event the main office is unavailable. It is our intention to contact all clients within five days of a disaster that dictates moving our office to an alternate location.

Loss of Key Personnel

Baring Financial, LLC has signed a Business Continuation Agreement with another financial advisory firm to support Baring Financial, LLC in the event of Melvin Danson's serious disability or death.

Information Security Program

Information Security

Baring Financial, LLC maintains an information security program to reduce the risk that your personal and confidential information may be breached.

Privacy Notice

Baring Financial, LLC is committed to maintaining the confidentiality, integrity and security of the personal information that is entrusted to us.

The categories of nonpublic information that we collect from you may include information about your personal finances, information about your health to the extent that it is needed for the asset management process, information about transactions between you and third parties, and information from consumer reporting agencies, e.g., credit reports. We use this information to help you meet your personal financial goals.

With your permission, we disclose limited information to attorneys, accountants, and mortgage lenders with whom you have established a relationship. You may opt out from our sharing information with these nonaffiliated third parties by notifying us at any time by telephone, mail, fax, email, or in person. With your permission, we share a limited amount of information about you with your brokerage firm in order to execute securities transactions on your behalf.

We maintain a secure office to ensure that your information is not placed at unreasonable risk. We employ a firewall barrier, secure data encryption techniques, and authentication procedures in our computer environment.

We do not provide your personal information to mailing list vendors or solicitors. We require strict confidentiality in our agreements with unaffiliated third parties that require access to your personal information, including financial service companies, consultants, and auditors. Federal and state securities regulators may review our Company records and your personal records as permitted by law.

Personally identifiable information about you will be maintained while you are a client, and for the required period thereafter that records are required to be maintained by federal and state securities laws. After that time, information may be destroyed.

We will notify you in advance if our privacy policy is expected to change. We are required by law to deliver this Privacy Notice to you annually, in writing.

Requirements for State-Registered Advisers & Brochure Supplement (Part 2B of Form ADV)

Education and Business Standards

Baring Financial, LLC requires that advisors in its employ have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of coursework include: an MBA, a CFP®, a CFA, a ChFC, JD, CTFA, EA, CPA, or PFS. Additionally, advisors must have work experience that demonstrates their aptitude for financial planning and investment management.

Conflicts of Interest

Melvin Danson is actively engaged in the tax preparation business Logan Danson, LLC. He acts as owner and spends approximately 20 hours a week at this business conducting tax planning, tax preparation, and tax consulting. If a conflict of interest arises, it will be readily disclosed to the client and any concerns will be addressed.

Professional Certifications

Employees have earned certifications and credentials that are required to be explained in further detail.

Enrolled Agent (EA): Enrolled agents are federally-authorized tax practitioners empowered by the US Department of the Treasury. EA certification requirements:

- Advance knowledge of tax issues
- Passing score on all three parts of the Special Enrollment Exam (SEE)
- Pass a background check

Certified Public Accountant (CPA): Certified Public Accountants are licensed by their state boards of accountancy. CPA certification requirements:

- Minimum college education including 140 credit hours concentrating on accounting.
 - Minimum 24 units upper level accounting courses
 - Minimum 2000 experience hours providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax, or consulting skills all under the supervision of or verified by a CPA
 - Follow a rigorous Code of Professional Conduct
 - Successful passage of the Uniform CPA Examination
-

Melvin Danson Certifications

CRD Number: 4231528

Educational Background:

- Date of birth: 12/28/1975
- Individually licensed to sell life, disability, and long-term life insurance
- Institutions:
 - Wayne State College 1995 – 2000
 - Enrolled Agent Special Enrollment Exam (SEE) 04/14/2015
 - Investment Company Products/Variable Contracts Representative Exam Series 6 07/20/2000
 - General Securities Representative Exam Series 7 11/14/2011
 - Uniform Securities Agent State Law Exam Series 63 08/03/2000
 - Uniform Investment Adviser Law Exam Series 65 08/28/2001
 - Uniform Combined State Law Exam Series 66 11/29/2011

Business Experience:

- 2015 – Present Logan Danson, LLC
- 2012 – Present Waddell & Reed, Inc
- 2013 – 2015 Logan Mason & Associates
- 2011 – 2012 First Allied
- 2011 – 2011 Xela Capital, LLC
- 2009 – 2010 Dual Industries

Disciplinary Information: None Other

Business Activities: None Additional

Compensation: None

Supervision:

Melvin is supervised by himself. He reviews work through frequent office interactions as well as remote interactions. He also reviews activities through our client relationship management system.

Melvin Danson's contact information:

360.671.7257 info@baringfinancial.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None